



2163
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.: 09/970,078
Confirmation No.: 8120
Filed: October 3, 2001
Inventor(s):
John Bunda

§
§ Examiner: Unknown
§ Art Unit: 2163
§ Atty. Dkt. No: 5226-02200
§

Title: METHODS AND SYSTEMS
FOR MANAGING A
PORTFOLIO OF
SECURITIES

<p>CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8 DATE OF DEPOSIT: <u>April 9, 2004</u> I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail on the date indicated above and is addressed to: Commissioner for Patents Alexandria, VA 22313-1450 <u>B. Gail Ballard</u> B. Gail Ballard</p>
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INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

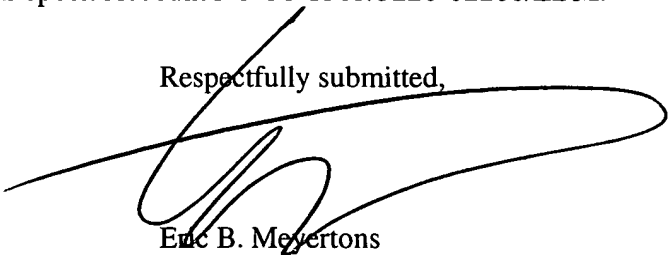
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Sir:

It is respectfully requested that this Information Disclosure Statement be entered and the documents listed on attached Form PTO-1449 (references E1-E7) be considered by the Examiner and made of record. Copies of the listed documents are enclosed for the convenience of the Examiner.

Should any fees be required, the Commissioner is authorized to charge said fees to Meyertons, Hood, Kivlin, Kowert & Goetzel, P.C. Deposit Account No. 50-1505/5226-02200/EBM.

Respectfully submitted,


Eric B. Meyertons
Reg. No. 34,876

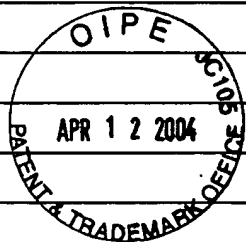
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Form PTO-1449 (modified) List of Patents and Publications For Applicant's Information Disclosure Statement (Use several sheets if necessary)	ATTY. DKT. NO. 5226-02200 APPLICANT: John Bunda FILING DATE: October 3, 2001	SERIAL NO. 09/970,078 GROUP: 2161
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U.S. PATENT DOCUMENTS

EXAM. INITIALS	REF. DES.	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE



FOREIGN PATENT DOCUMENTS

EXAM. INITIALS	REF. DES.	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES/NO
	E7	WO 01/42967	June 14, 2001	PCT			

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	E1	International Search Report, PCT/US02/18063, mailed May 8, 2003
	E2	International Search Report, PCT/US02/18224, mailed May 15, 2003
	E3	International Search Report, PCT/US02/18978, mailed May 21, 2003
	E4	International Search Report, PCT/US02/26471, mailed December 11, 2003
	E5	International Search Report, PCT/US02/31239, mailed April 3, 2003
	E6	International Search Report, PCT/US02/34357, mailed January 7, 2003

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EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.

Information Disclosure Statement--PTO 1449 (modified)